



copy

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-1106-A)

In re Application of: )

Friesen et al. )

Serial No.: 09/651,301 )

Filed: August 20, 2000 )

For: User Interface for Semi-Fungible Trading )

Group Art Unit: 3624

Examiner: Akers

Commissioner for Patents

P.O. Box 1450

Alexandria, Virginia 22313-1450

RECEIVED

FEB 05 2004

GROUP 3624

**POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST**  
(REVOCATION OF PRIOR POWERS)

As assignee of record of the entire interest of the above identified

☒ application

☐ patent

**REVOCATION OF PRIOR POWERS OF ATTORNEY**

all powers of attorney previously given are hereby revoked and

**NEW POWER OF ATTORNEY**

The undersigned hereby appoints all of the practitioners associated with the Customer Number provided below to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and directs that all correspondence be addressed to that Customer Number:

Customer Number: 020306

Principal attorney or agent:

Telephone number: 312-913-0001

I further appoint Steven F. Borsand, Registration No. 36,752, Mark W. Triplett, Registration No. 49,002 and Monika Dudek, Registration No. 47,538, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

**Assignee of Entire Interest:**

Name: Trading Technologies International, Inc.

Address: 222 South Riverside Plaza, Suite 1100, Chicago, IL 60606

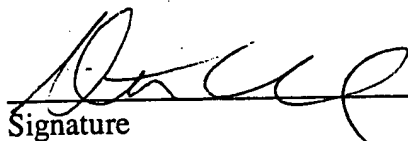
**EVIDENCE AND CERTIFICATION OF CHAIN OF TITLE**

1. From: Richard W. Friesen and Mark C. Klizas To: Epit, Inc.  
Recorded in PTO on November 27, 2002  
Reel 011335  
Frame 0945
2. From: Epit, Inc. To: Hitachi, Ltd  
  
Recorded in PTO on February 26, 2003  
Reel 013730  
Frame 0972
2. From: Hitachi, Ltd To: Trading Technologies, Inc.  
☒ Recorded herewith.

**ASSIGNEE CERTIFICATION**

In accordance with 37 C.F.R. § 3.73 the assignee hereby certifies that the evidentiary documents with respect to its ownership have been reviewed and that, to the best of assignee's knowledge and belief, title is in the assignee seeking to take this action.

Date: 12-23-03

  
\_\_\_\_\_  
Signature

Name: Steven F. Borsand

Title: Vice President, Intellectual Property of Trading  
Technologies International, Inc

FORM PTO-1595

# RECORDATION FORM COVER SHEET PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To The Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

|   |  |
|---|--|
| <p>1. Name of conveying party(ies)</p> <p>Hitachi, Ltd.</p> <p>Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>   | <p>2. Name and address of receiving party(ies)</p> <p>Name: Trading Technologies International, Inc.</p> <p>Address: 222 S. Riverside Plaza, Suite 1100</p> <p>City: Chicago State: Illinois</p> <p>Country: U.S.A. Zip: 60606</p> <p>Additional name(s) &amp; address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> |
| <p>3. Nature of conveyance:</p> <p><input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger</p> <p><input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name</p> <p><input type="checkbox"/> Other _____</p> <p>Execution Date: November 19, 2003</p> |  |

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

|   |                         |
|---|-------------------------|
| <p>A. Patent Application No.(s)</p> <p>09/651,301</p> <p>Filing Date</p> <p>August 20, 2000</p> | <p>B. Patent No.(s)</p> |
|---|-------------------------|

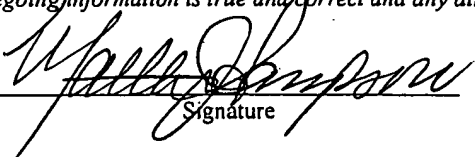
Additional numbers attached? ☐ Yes ☒ No

|   |   |
|---|---|
| <p>5. Name and address of party to whom correspondence concerning document should be mailed:</p> <p>Name: Matthew J. Sampson</p> <p>Registration No.: 35,999</p> <p>Company Name: McDonnell, Boehnen, Hulbert &amp; Berghoff</p> <p>Street Address: 300 South Wacker Drive - 32<sup>nd</sup> Floor</p> <p>City: Chicago State: Illinois</p> <p>Country: U.S.A. ZIP: 60606</p> | <p>6. Total number of applications and patents involved: 1</p> <p>7. Total Fee (37 CFR 3.41).....\$40.00</p> <p><input checked="" type="checkbox"/> Enclosed</p> <p><input type="checkbox"/> Authorized to be charged to deposit account</p> <p>8. Deposit account number:</p> <p>13-2490</p> |
|---|---|

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9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

|   |   |                                |
|---|---|--------------------------------|
| <p>Matthew J. Sampson</p> <p>Printed Name of Person Signing</p> |  <p>Signature</p> | <p>Date: December 31, 2003</p> |
|---|---|--------------------------------|

Total number of pages including cover sheet, attachments, and document: 5

Mail documents to be recorded with required cover sheet information to:

**Mail Stop Assignment Recordation Services**  
**Director of U.S. Patent and Trademark Office**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

## ASSIGNMENT

Case No.: 369992.109

Serial No.: 09/651,301

Inventors: Richard W. Friesen and Mark C. Klizas

Date of Execution of Application: 11/10/00

Filing Date: August 30, 2000 (claiming priority to 60/151,468 filed on August 30, 1999)

In consideration of One Dollar (\$1.00) and other good and valuable considerations in hand paid, the receipt and sufficiency whereof are hereby acknowledged, Hitachi, Ltd. hereby assigns to:

**Trading Technologies International, Inc., a corporation of the State of Delaware**

its successors and assigns, the entire right, title and interest in the invention or improvements of the undersigned disclosed in an application for Letters Patent of the United States, having U.S. Patent Application No. 09/651,301 entitled:

**User Interface for Semi-Fungible Trading**

naming Richard W. Friesen and Mark C. Klizas as inventors and identified as:

**Case No. 36992.109**

in the offices of Squire, Sanders and Dempsey L.L.P. and in said application and any and all other applications, both United States and foreign, which the undersigned may file, either solely or jointly with others, on said invention or improvements, and in any and all Letters Patent of the United States and foreign countries, which may be obtained on any of said applications, and in any reissue or extension of such patents, and further assigns to said assignee the priority right provided by the International Convention.

The undersigned hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to said assignee.

The undersigned hereby authorize and request the attorneys of record in said application to insert in this assignment the filing date and serial number of said application when officially known, and the date of execution of the application.

The undersigned warrant themselves to be the owners of the entire right, title and interest in said invention or improvements and to have the right to make this assignment, and further warrant that there are no outstanding prior assignments, licenses, or other encumbrances on the interest herein assigned, except for non-exclusive licenses given to Hitachi, Ltd., its current and future subsidiaries, and its pre-existing cross licensees.

For said considerations the undersigned hereby agree, upon the request and at the expense of said assignee, its successors and assigns, to execute any and all divisional, continuation and substitute applications for said invention or improvements, and any necessary oath, affidavit or declaration relating thereto, and any application for the reissue or extension of any Letters Patent that may be granted upon said application and any and all applications and other documents for Letters Patent in foreign countries on said invention or improvements, that said assignee, its successors or assigns may deem necessary or expedient,

and for the said considerations the undersigned authorize said assignee to apply for patents for said invention or improvements in its own name in such countries where such procedure is proper.

WITNESS my hand and seal this 19 day of Nov. 2003

  
\_\_\_\_\_  
Hitachi, Ltd.

Name: Takahito Karasawa

Title: Manager, Intellectual Property Group

State of \_\_\_\_\_

County of \_\_\_\_\_

The foregoing instrument was acknowledged before me this \_\_\_\_\_ day of

\_\_\_\_\_, \_\_\_\_\_ by

\_\_\_\_\_  
NOTARY PUBLIC

## ASSIGNMENT

Case No.: 369992.109

Serial No.: 09/651,301

Inventors: Richard W. Friesen and Mark C. Klizas

Date of Execution of Application: 11/10/00

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**Trading Technologies International, Inc., a corporation of the State of Delaware**

its successors and assigns, the entire right, title and interest in the invention or improvements of the undersigned disclosed in an application for Letters Patent of the United States, having U.S. Patent Application No. 09/651,301 entitled:

**User Interface for Semi-Fungible Trading**

naming Richard W. Friesen and Mark C. Klizas as inventors and identified as:

**Case No. 36992.109**

in the offices of Squire, Sanders and Dempsey L.L.P. and in said application and any and all other applications, both United States and foreign, which the undersigned may file, either solely or jointly with others, on said invention or improvements, and in any and all Letters Patent of the United States and foreign countries, which may be obtained on any of said applications, and in any reissue or extension of such patents, and further assigns to said assignee the priority right provided by the International Convention.

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For said considerations the undersigned hereby agree, upon the request and at the expense of said assignee, its successors and assigns, to execute any and all divisional, continuation and substitute applications for said invention or improvements, and any necessary oath, affidavit or declaration relating thereto, and any application for the reissue or extension of any Letters Patent that may be granted upon said application and any and all applications and other documents for Letters Patent in foreign countries on said invention or improvements, that said assignee, its successors or assigns may deem necessary or expedient,

and for the said considerations the undersigned authorize said assignee to apply for patents for said invention or improvements in its own name in such countries where such procedure is proper.

Agreed To:



Hitachi, Ltd. Yasuo SAKUTA, Patent Attorney  
Executive Officer,  
Intellectual Property Group  
(Authorized Signing Officer)

November 19, 2003

Date: \_\_\_\_\_